



# UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/909,006	07/20/2001	Shinsuke Honjo	500.40368X00	8728

20457 7590 11/16/2004

ANTONELLI, TERRY, STOUT & KRAUS, LLP  
1300 NORTH SEVENTEENTH STREET  
SUITE 1800  
ARLINGTON, VA 22209-9889

EXAMINER

PYZOCHA, MICHAEL J

ART UNIT	PAPER NUMBER
----------	--------------

2137

DATE MAILED: 11/16/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

## Office Action Summary

**Application No.**

09/909,006

**Applicant(s)**

HONJO ET AL.

**Examiner**

Michael Pyzocha

**Art Unit**

2137

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 20 July 2001.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-17 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-17 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 20 July 2001 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☒ All    b) ☐ Some \*    c) ☐ None of:
1. ☒ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_

**DETAILED ACTION**

1. Claims 1-17 are pending.

***Claim Rejections - 35 USC § 102***

2. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless -

(a) the invention was known or used by others in this country, or patented or described in a printed publication in this or a foreign country, before the invention thereof by the applicant for a patent.

3. Claims 1-2, 5-6, 10, 14-15, 17 are rejected under 35 U.S.C. 102(a) as being anticipated by "TCP/IP Tutorial and Technical Overview" (hereinafter Kerberos).

As per claim 1, Kerberos discloses a system to control access from a client to a server, comprising: ticket granting server including a personal information database for obtaining, in response to a request from a client, personal information from the personal information database, for authenticating the personal information and for resultantly sending a ticket to the client (see pages 2-5 where the client name (c) is the personal information); and an access control server including a server policy defining an access allowance condition for requiring of the access requesting client a ticket matching the server policy

Art Unit: 2137

and for allowing the client an access when the required ticket is sent from the client (see pages 2-5).

As per claim 2, Kerberos discloses the access allowance condition includes necessary information, necessity/non-necessity of authorization of the information, and necessity/non-necessity of disclosure of the information (see pages 2-5 where necessary information is the client name and service name, which is also the authorization information which is disclosed to the ticket granting service).

As per claim 5, Kerberos discloses a method of controlling an access from a client, comprising the steps of: setting a server policy defining an access allowance condition; requiring of the access requesting client an authenticated ticket matching the server policy; and allowing the client an access when the required ticket is sent from the client (see pages 2-5).

As per claim 6, Kerberos discloses the access allowance condition includes necessary information, necessity/non-necessity of authorization of the information, and necessity/non-necessity of disclosure of the information (see pages 2-5 where necessary information is the client name and service name, which is also the authorization information which is disclosed to the ticket granting service).

Art Unit: 2137

As per claim 10, Kerberos discloses a server access method, comprising the steps receiving from an access target server a server policy defining an access allowance condition; sending to a ticket granting server a ticket granting request together with the server policy; receiving from the ticket granting server a ticket including information which matches the server policy and which is authorized; and sending an access request to the access target server together with the ticket (see pages 2-5).

As per claim 14, Kerberos discloses a client, comprising: means for receiving a server policy defining allowance condition from an access target an access server; means for sending a ticket to a ticket granting server together granting request with the server policy; means for receiving from the ticket granting server a ticket including information which matches the server policy and which is authorized; and means for sending an access request to the access target server together with the ticket (see pages 2-5).

As per claim 15, Kerberos discloses a program for controlling an access from a client, said program including instructions for executing the steps of: sending, to a client requesting an access, a server policy to which an access allowance condition is beforehand set; and allowing the client

Art Unit: 2137

the access when a ticket matching the server policy is sent from the client (see pages 2-5).

As per claim 17, Kerberos discloses a server access program including instructions for executing the steps of: receiving from an access target server a server policy defining an access allowance condition; sending to a ticket granting server a ticket granting request together with the server policy; receiving from the ticket granting server a ticket including information which matches the server policy and which is authenticated; and sending an access request to the access target server together with the ticket (see pages 2-5).

***Claim Rejections - 35 USC § 103***

4. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

5. Claims 3, 7-9, 13, 16 are rejected under 35 U.S.C. 103(a) as being unpatentable over Kerberos and further in view of Menezes et al ("Handbook of Applied Cryptography").

Art Unit: 2137

As per claim 3, is rejected as applied to claim 1 but fails to disclose the use of a digital signature.

However, Menezes et al discloses the use of a digital signature (see page 22).

At the time of the invention it would have been obvious to a person of ordinary skill in the art to use Menezes et al's digital signature in Kerberos' ticket.

Motivation to do so would have been to provide authentication, authorization and non-repudiation (see Menezes et al page 22).

As per claim 7, the modified Kerberos and Menezes et al system discloses a personal information authentication method, comprising the steps of: preparing a personal information database including personal information; identifying, client, a person and in response authenticating the person; information from the database corresponding to the obtaining requested personal information identified and authenticated person and describing the requested information on a certificate (see Kerberos pages 2-5); putting a digital signature on the certificate (see Menezes et al page 22); and to a request from a sending the certificate to the client (see Kerberos pages 2-5).

As per claim 8, the modified Kerberos and Menezes et al system discloses the request from the client includes necessary

Art Unit: 2137

information, necessity/non-necessity of authorization of the information, and necessity/non-necessity of disclosure of the information (see Kerberos pages 2-5).

As per claim 9, the modified Kerberos and Menezes et al system discloses confirming, when it is not necessary to disclose the information requested by the client, information in the personal information database and describing none of contents of the information on the certificate (see Kerberos pages 2-5).

As per claim 13, the modified Kerberos and Menezes et al system discloses a ticket granting server, a personal information database including comprising: personal information; means for identifying, in response to a request from a client, a person and authenticating the person; means for obtaining requested information corresponding to the identified and authenticated person in the personal information database (see Kerberos pages 2-5), putting a digital signature, and thereby creating a ticket (see Menezes et al page 22); and means for sending the ticket to the client (see Kerberos pages 2-5).

As per claim 16, the modified Kerberos and Menezes et al system discloses a personal information authentication program including instructions for executing the steps of: identifying, in response to a request from a client, a person and



Art Unit: 2137

authenticating the person; obtaining requested information from information corresponding to the identified and authenticated person in a personal information database and describing the requested information on a certificate (see Kerberos pages 2-5); putting a digital signature on the certificate (see Menezes et al page 22); and sending the certificate to the client (see Kerberos pages 2-5).

6. Claims 4, 11-12 are rejected under 35 U.S.C. 103(a) as being unpatentable over Kerberos and further in view of FOLDLOC.

As per claim 4, Kerberos discloses an access control method for use in a system including a client, a server, and a ticket granting server, comprising the steps of: server having a server access allowance condition a server policy defining an policy to a client having requested an access; obtaining by the ticket granting server, in response to request and the server policy sent from a client, personal information from a personal information database, authenticating the personal information, and resultantly sending a ticket to the client; sending by the client an access request with the ticket to the server; and allowing by the server the client the access when the ticket matches the server policy (see pages 2-5).

Kerberos fails to disclose the server being a www server (web server).

Art Unit: 2137

However, FOLDOC discloses a web server (see FOLDOC).

At the time of the invention it would have been obvious to a person of ordinary skill in the art to use FOLDOC's web server as Kerberos' server.

Motivation to do so would have been to have the server be able to send out web pages (see FOLDOC).

As per claim 11, the modified Kerberos and FOLDOC system discloses an access control method for use in a system including a client, a www server, and a ticket granting server, comprising the steps of: by the ticket granting server, receiving a ticket granting request from the client and creating in response thereto a session key, obtaining personal information from a personal information database, and sending to the client the session key and an encrypted ticket including the session key and the personal information; by the client, creating an authenticator by encrypting an access request time using the session key received from the ticket granting server and sending to the www server an access request together with the encrypted ticket and the authenticator; and by the www server, decrypting the encrypted ticket to obtain a session key, decrypting the authenticator using the session key to obtain a time, verifying the timer, determining whether or not the ticket satisfies an access allowance condition, and determining allowance or denial

Art Unit: 2137

of the access (see Kerberos pages 2-5 with www server from FOLDOC).

As per claim 12, the modified Kerberos and FOLDOC system discloses a www server, comprising: means for setting a server policy defining an access allowance condition; means for sending the server policy to a client requesting an access; and means for allowing a client an access when a ticket matching the server policy is sent from the client (see Kerberos pages 2-5 and FOLDOC).

### **Conclusion**

7. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure. Linehan et al (U.S. 5,495,533) and Shambroom (U.S. 5,923,756) disclose access control using a ticket granting service.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Michael Pyzocha whose telephone number is (571) 272-3875. The examiner can normally be reached on 7:00am - 4:30pm first Fridays of the bi-week off.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Andrew Caldwell can be reached on (571) 272-3868. The fax phone number for the

Art Unit: 2137

organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

MJP

Andrew Caldwell  
Andrew Caldwell